



2641

01263.001603.

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

JASON PETER ANDREW
CHARLESWORTH, ET AL.

Appl. No.: 09/840,886

Filed: April 25, 2001

For: DATABASE ANNOTATION AND
RETRIEVAL

Group Art Unit: 2641

RECEIVED

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Technology Center 2600

October 1, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450INFORMATION DISCLOSURE STATEMENT

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed below on the enclosed Form PTO-1449. Copies of the listed documents are also enclosed.

- (1) U.S. Patent No. 6,567,816
- (2) U.S. Patent No. 6,487,532
- (3) U.S. Patent No. 5,852,822
- (4) U.S. Patent No. 5,680,605
- (5) U.S. Patent No. 5,675,706
- (6) U.S. Patent No. 5,594,641
- (7) U.S. Patent No. 5,202,952
- (8) U.S. Patent No. 4,227,176

(9) Okawa, S. et al., "Automatic Training of Phoneme Dictionary Based on Mutual Information Criterion", *IEEE* (1994), pp. I-241-I-244.

(10) Rahim, M. et al., "A Neural Tree Network for Phoneme Classification With Experiments on the Timit Database", *IEEE* (1992), pp. II-345-II-348.

(11) Sankoff, D., et al, "Time Warps, String Edits, And Macromolecules: The Theory And Practice Of Sequence Comparison", Bell Laboratories and David Sankoff (1983), Chapter 11, pp. 311-321.

(12) Wang, H., "Retrieval of Mandarin Spoken Documents Based on Syllable Lattice Matching", *Pattern Recognition Letters* (June 2000), 21, pp. 615-624.

Document (11) was previously cited in an Information Disclosure Statement dated September 11, 2003. Copies of pages 1 to 44, pages 211 to 214, 311 to 319 and 359 to 362 of this document were provided in the September 11, 2003 Information Disclosure Statement. However, pages 320 to 321 of Chapter 11, of which pages 311 to 319 are also a part, were inadvertently not provided. A complete copy of pages 311 to 321 of Chapter 11 is included in this Information Disclosure Statement. The Form PTO-1449 attached hereto lists all of the pages cited herein and in the September 11, 2003 Information Disclosure Statement.

Inasmuch as the subject application has not yet received a first Office Action, it is believed that this Information Disclosure Statement is timely. See 37 C.F.R. § 1.97(b)(3). Accordingly, the Examiner is urged to study this information in its entirety and to form an independent determination of the materiality of the information to the claimed invention. Additionally, the Examiner is requested to indicate that this information has been considered by initialing the appropriate portion of Form PTO-1449.

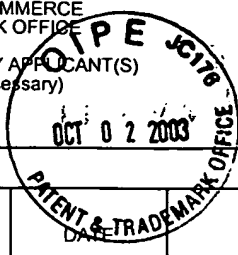
Applicants' undersigned attorney may be reached in our Costa Mesa, California office by telephone at (714) 540-8700. All correspondence should continue to be directed to our address given below.

Respectfully submitted,


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FORM PTO 1449 (modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)				ATTY DOCKET NO. 01263.001603.		APPLICATION NO. 09/840,886	
				APPLICANT JASON PETER ANDREW CHARLESWORTH, ET AL.			
				FILING DATE April 25, 2001		GROUP 2641	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		6,567,816	05/20/03	Desai et al.	707	102	
		6,487,532	11/26/02	Schoofs et al.	704	251	
		5,852,822	12/22/98	Srinivasan et al.	707	4	
		5,680,605	10/21/97	Torres	395	603	
		5,675,706	10/07/97	Lee et al.	395	2.65	
		5,594,641	01/14/97	Kaplan et al.	395	601	
		5,202,952	04/13/93	Gillick et al.	395	2	
		4,227,176	10/07/80	Moshier	340	146.3	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)							
		Okawa, S. et al., "Automatic Training of Phoneme Dictionary Based on Mutual Information Criterion", <i>IEEE</i> (1994), pp. 241-244.					
		Rahim, M. et al., "A Neural Tree Network for Phoneme Classification With Experiments on the Timit Database", <i>IEEE</i> (1992), pp. II-345-II-348.					
		Sankoff, D., et al, "Time Warps, String Edits, And Macromolecules: The Theory And Practice Of Sequence Comparison", Bell Laboratories and David Sankoff (1983), Ch. One, pp. 1-44; Part Three, pp. 211-214; Ch. Eleven, pp. 311-321, Ch. Sixteen, pp. 359-362.					
		Wang, H., "Retrieval of Mandarin Spoken Documents Based on Syllable Lattice Matching", <i>Pattern Recognition Letters</i> (June 2000), 21, pp. 615-624.					
EXAMINER				DATE CONSIDERED			

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.